

Request for Records Disposition Authority

Records Schedule Number DAA-0564-2013-0003

Schedule Status Approved

Agency or Establishment Alcohol and Tobacco Tax and Trade Bureau

Record Group / Scheduling Group Records of the Alcohol and Tobacco Tax and Trade Bureau

Records Schedule applies to Agency-wide

Schedule Subject TTB Program Records

Internal agency concurrences will be provided No

Background Information

Item Count

Number of Total Disposition Items	Number of Permanent Disposition Items	Number of Temporary Disposition Items	Number of Withdrawn Disposition Items
81	2	79	0

GAO Approval

Outline of Records Schedule Items for DAA-0564-2013-0003

Sequence Number	
1	Administrative Management Document Files Disposition Authority Number: DAA-0564-2013-0003-0001
2	Audit Reports Disposition Authority Number: DAA-0564-2013-0003-0002
3	Administrative Files Disposition Authority Number: DAA-0564-2013-0003-0003
4	Criminal Investigation Files (Adverse Actions) Disposition Authority Number: DAA-0564-2013-0003-0004
5	Investigative Report Files Not Resulting in an Adverse Action. Disposition Authority Number: DAA-0564-2013-0003-0005
6	Closed Study Files Disposition Authority Number: DAA-0564-2013-0003-0006
7	Correspondence Files Disposition Authority Number: DAA-0564-2013-0003-0007
8	Program Reports Disposition Authority Number: DAA-0564-2013-0003-0008
9	Project Files—General Studies Disposition Authority Number: DAA-0564-2013-0003-0009
10	Regulations, Rulings and Decisions—Non-Published Disposition Authority Number: DAA-0564-2013-0003-0010
11	Removal of Documentary Materials Forms Disposition Authority Number: DAA-0564-2013-0003-0011
12	Federal Alcohol Administration Basic Permit Files
12.1	Files relating to permits issued to distilled spirits plants having production facilities: Disposition Authority Number: DAA-0564-2013-0003-0012
12.2	Disapproved applications and permits (other than those covered elsewhere in this schedule) which have been revoked: Disposition Authority Number: DAA-0564-2013-0003-0013
12.3	Permits Surrendered with prejudice. Disposition Authority Number: DAA-0564-2013-0003-0014
12.4	Permits surrendered without prejudice. Disposition Authority Number: DAA-0564-2013-0003-0015
12.5	Documents contained in the active file which have been superseded. Disposition Authority Number: DAA-0564-2013-0003-0016

12.6	Files relating to all other permits except permits covered elsewhere in this schedule. Disposition Authority Number: DAA-0564-2013-0003-0017
13	Non-permittee Applications and Authorizations (Liquors). Disposition Authority Number: DAA-0564-2013-0003-0018
14	Notice and Application Files.
14.1	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities. Disposition Authority Number: DAA-0564-2013-0003-0019
14.2	Files relating to all other premises. Disposition Authority Number: DAA-0564-2013-0003-0020
14.3	Documents contained in the active file which have been superseded. Disposition Authority Number: DAA-0564-2013-0003-0021
15	Internal Revenue Code Permit Files
15.1	Files relating to distilled spirits plants having production facilities. Disposition Authority Number: DAA-0564-2013-0003-0022
15.2	Files relating to all disapproved applications and to all permits (other than those covered above) which have been revoked. Disposition Authority Number: DAA-0564-2013-0003-0023
15.3	Permits surrendered with prejudice. Disposition Authority Number: DAA-0564-2013-0003-0024
15.4	Permits surrendered without prejudice. Disposition Authority Number: DAA-0564-2013-0003-0025
15.5	Withdrawal application and/or permits, except where permit has been revoked. Disposition Authority Number: DAA-0564-2013-0003-0026
15.6	Documents contained in the active file which have been superseded. Disposition Authority Number: DAA-0564-2013-0003-0027
15.7	All other Internal Revenue Code permit files. Disposition Authority Number: DAA-0564-2013-0003-0028
16	Plats and Plans Files
16.1	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and has production facilities. Disposition Authority Number: DAA-0564-2013-0003-0029
16.2	All others. Disposition Authority Number: DAA-0564-2013-0003-0030
17	Bonds and Consents Files
17.1	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and has production facilities.

	Disposition Authority Number: DAA-0564-2013-0003-0031
17.2	All others. Disposition Authority Number: DAA-0564-2013-0003-0032
18	Prejudice Information Case Files. Disposition Authority Number: DAA-0564-2013-0003-0033
19	Inspection Report Files. Disposition Authority Number: DAA-0564-2013-0003-0034
20	Operating Documents Files
20.1	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and has production facilities. Disposition Authority Number: DAA-0564-2013-0003-0035
20.2	Documents contained in the active files which have been superseded. Disposition Authority Number: DAA-0564-2013-0003-0036
20.3	All others. Disposition Authority Number: DAA-0564-2013-0003-0037
21	Assessment Files (Liquor and Tobacco). Disposition Authority Number: DAA-0564-2013-0003-0038
22	Formulas and Processes Files Disposition Authority Number: DAA-0564-2013-0003-0039
23	Permit Correspondence Files (Liquors and Tobacco). Disposition Authority Number: DAA-0564-2013-0003-0040
24	Audit Correspondence Files (Liquors and Tobacco). Disposition Authority Number: DAA-0564-2013-0003-0041
25	Samples for Testing Disposition Authority Number: DAA-0564-2013-0003-0042
26	Unsubdivided Basic Files.
26.1	Files relating to applications and notices which have been approved, and for permits which have been issued (other than disapproved applications and notices or to permits which have been revoked). Disposition Authority Number: DAA-0564-2013-0003-0043
26.2	Files relating to disapproved applications and notices or to permits which have been revoked. Disposition Authority Number: DAA-0564-2013-0003-0044
26.3	Permits surrendered with prejudice. Disposition Authority Number: DAA-0564-2013-0003-0045
26.4	Permits surrendered without prejudice. Disposition Authority Number: DAA-0564-2013-0003-0046
27	Operating Reports (Liquors) Other than Wholesalers' and Importers' Reports.

	Disposition Authority Number: DAA-0564-2013-0003-0047
28	Inventories and Reports (Tobacco). Disposition Authority Number: DAA-0564-2013-0003-0048
29	Wholesale Liquor Dealer and Importer Reports. Disposition Authority Number: DAA-0564-2013-0003-0049
30	Individual Transaction Forms (Tobacco). Disposition Authority Number: DAA-0564-2013-0003-0050
31	Tax Return Files Disposition Authority Number: DAA-0564-2013-0003-0051
32	Claims (Liquors, Tobacco, and Firearms and Ammunition Excise Tax). Disposition Authority Number: DAA-0564-2013-0003-0052
33	Transaction Forms in Support of Export Claims with Benefit of Drawback (Liquors). Disposition Authority Number: DAA-0564-2013-0003-0053
34	Records of Errors or Discrepancies Not Resulting in Tax Adjustment, Claim or Assessment (Liquors and Tobacco). Disposition Authority Number: DAA-0564-2013-0003-0054
35	Non-beverage Drawback Formulas and Bonds. Disposition Authority Number: DAA-0564-2013-0003-0055
36	Export Document Records, Transaction Forms (Withdrawals Without Payment of Tax, Liquors and Tobacco). Disposition Authority Number: DAA-0564-2013-0003-0056
37	Export Bonds and Consents (Withdrawals Without Payment of Tax). Disposition Authority Number: DAA-0564-2013-0003-0057
38	Export Bonds and Consents (Withdrawals with Benefit of Drawback). Disposition Authority Number: DAA-0564-2013-0003-0058
39	Files of Stills Removed to Non-registrants. Disposition Authority Number: DAA-0564-2013-0003-0059
40	Still Wines Used in Manufacture of Vinegar Disposition Authority Number: DAA-0564-2013-0003-0060
41	Retail Liquor Dealer Records Files. Disposition Authority Number: DAA-0564-2013-0003-0061
42	Disapproved Change Applications Disposition Authority Number: DAA-0564-2013-0003-0062
43	Auditors' Activity Reports Disposition Authority Number: DAA-0564-2013-0003-0063
44	Taxpayer Record Files. Disposition Authority Number: DAA-0564-2013-0003-0064
45	Collection Forms.

	Disposition Authority Number: DAA-0564-2013-0003-0065
46	Periodic Recurring Reports Disposition Authority Number: DAA-0564-2013-0003-0066
47	Floor Stocks
47.1	Non-filers Disposition Authority Number: DAA-0564-2013-0003-0067
47.2	Filers Disposition Authority Number: DAA-0564-2013-0003-0068
48	General Subject Files: Disposition Authority Number: DAA-0564-2013-0003-0069
49	Reports of Program and Office Reviews Disposition Authority Number: DAA-0564-2013-0003-0070
50	Assistance Requests and Assignments Files Disposition Authority Number: DAA-0564-2013-0003-0071
51	Case Files Disposition Authority Number: DAA-0564-2013-0003-0072
52	Asset Forfeiture Claims Disposition Authority Number: DAA-0564-2013-0003-0073
53	Data Analytics-Risk Management Project Management and Strategic Documents Disposition Authority Number: DAA-0564-2013-0003-0074
54	White Papers Disposition Authority Number: DAA-0564-2013-0003-0075
55	Intel Correspondence Disposition Authority Number: DAA-0564-2013-0003-0076
56	Contact Files Disposition Authority Number: DAA-0564-2013-0003-0077
57	Corporate Document Files
57.1	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities. Disposition Authority Number: DAA-0564-2013-0003-0078
57.2	Those documents contained in the active files which have been superseded. Disposition Authority Number: DAA-0564-2013-0003-0079
57.3	All other Corporate Document Files, except those relating specifically to distilleries and warehouses. Disposition Authority Number: DAA-0564-2013-0003-0080
58	Non-Selected Applicant Records Disposition Authority Number: DAA-0564-2013-0003-0081

Records Schedule Items

Sequence Number	
1	<p>Administrative Management Document Files</p> <p>Disposition Authority Number DAA-0564-2013-0003-0001</p> <p>These files consist of a record copy of TTB directives, publications, industry circulars, or policy statements and associated data relating to Bureau administrative, organizational, or statistical matters. The files include program policies, organizational charts, and program standard operating procedures and guidance. Also included, are background materials, and as applicable, related handbook and/or forms. These files are held by the Bureau to document past procedures.</p> <p>Final Disposition Permanent</p> <p>Item Status Active</p> <p>Is this item media neutral? Yes</p> <p>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No</p> <p>GRS or Superseded Authority Citation NC1-436-80-2, Item 3</p> <p>Disposition Instruction</p> <p>If this item has multiple sections, indicate here records to which this section apply Non-electronic Textual Records</p> <p>Cutoff Instruction Cut off at the end of the CY in which the files is superseded or cancelled.</p> <p>Transfer to Inactive Storage Transfer records to the Federal Records Center 5 years after cutoff.</p> <p>Transfer to the National Archives for Accessioning Transfer records to the National Archives in 5 year blocks 15 years after cutoff.</p> <p>Additional Information</p> <p>First year of records accumulation 1974</p> <p>What will be the date span of the initial transfer of records to the National Archives? From 1974 To 1998</p>

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

	Estimated Current Volume	Annual Accumulation
Electronic/Digital		
Paper	6 Cubic feet	
Microform		
Hardcopy or Analog Special Media		

Disposition Instruction

If this item has multiple sections, indicate here records to which this section apply **Electronic Records**

Cutoff Instruction **Cutoff at the end of the CY in which the file is superseded or cancelled.**

Transfer to the National Archives for Accessioning **Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff.**

Additional Information

What will be the date span of the initial transfer of records to the National Archives? **Unknown**
Current record-keeping format is paper.

How frequently will your agency transfer these records to the National Archives? **Every 5 Years**

Audit Reports

Disposition Authority Number **DAA-0564-2013-0003-0002**

These files consist of management letter, report, checklists, analysis, engagement letters and summaries.

Final Disposition **Temporary**

Item Status **Active**

Is this item media neutral? **Yes**

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Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

Disposition Instruction

Cutoff Instruction

Cut off file at the end of the CY in which the report is closed.

Retention Period

Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

Administrative Files

Disposition Authority Number

DAA-0564-2013-0003-0003

These files contain routine correspondence, reports, studies, surveys, and related documents pertaining to the overall administration and operation of Bureau offices. The records also include records accumulated by individual program offices that relate to the general administration activities of the office. In general, these records related to programs may include internal activity and workload reports; periodic reports; plans, program progress, statistical, and narrative reports prepared in program offices and forwarded to higher levels; after action reports, and other associated materials. These files relate to those documents that are not scheduled elsewhere. These records may also contain non-specific program information that renders them ineligible for disposition under General Records Schedules (GRS).

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

N1-436-00-2, Item 2c
NC1-436-76-2, Item 1
NC1-436-77-2, Item 183
NCI-436-77-2, Item 207
NCI-436-77-2, Item 208
NCI-436-77-2, Item 219
NCI-436-77-2, Item 222
NC1-436-80-2, Item 2
NC1-436-80-2, Item 20a
NC1-436-80-2, Item 20b
NC1-436-80-2, Item 231

N1-436-86-2, Item 16

Disposition Instruction

Cutoff Instruction Cutoff at the end of the Calendar Year (CY).

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Criminal Investigation Files (Adverse Actions)

Disposition Authority Number DAA-0564-2013-0003-0004

These files consist of investigation that resulted in an adverse action including actions such as a warning letter, a permit action, an Offer in Compromise (OIC), or a suspension. The files contain the referral, records from the industry member, tax documents, correspondence, sample analysis, documents created by the investigator in the course of the investigation, input from other TTB Divisions, a report and recommendation by the investigator and other related data gathered during an investigation.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

Disposition Instruction

Cutoff Instruction Cutoff closed cases at end of calendar year (CY) in which case was closed or when final administrative action was taken, whichever is later.

Retention Period Destroy 20 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Investigative Report Files Not Resulting in an Adverse Action.

Disposition Authority Number DAA-0564-2013-0003-0005

These files consist of investigations of Industry members undertaken by TTB. These files may be investigations of trade practice violations in the marketplace,

post application investigations, investigations of suspected tax evasion, investigations relating to misleading or unauthorized labeling, or investigations of credible reports of health related contamination of an alcohol product (product integrity). The files contain the referral, records from the industry member, tax documents, correspondence, sample analysis, documents created by the investigator in the course of the investigation, input from other TTB Divisions, a report and recommendation by the investigator.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NC1-436-83-2, Item 1

Disposition Instruction

Cutoff Instruction Cutoff files at the end of the FY in which case was closed.

Retention Period Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Closed Study Files

Disposition Authority Number DAA-0564-2013-0003-0006

These case files contain material compiled in making studies which do not result in the issuance of a regulation or directive, recommendations, reports, and other related data.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NI-436-86-2, Item 164

Disposition Instruction

7

Cutoff Instruction

Cutoff files at the end of the FY in which the study was closed.

Retention Period

Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

Correspondence Files

Disposition Authority Number

DAA-0564-2013-0003-0007

These files contain correspondence with TTB offices, other Government agencies, and the general public which does not concern a proprietor, permittee, claimant, or other entity.

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

NCI-436-77-2, Item 140
NCI-436-77-2, Item 141
NCI-436-77-2, Item 142
NCI-436-77-2, Item 143
N1-436-90-2, Item 2
NC1-436-80-2 Item 73
NC1-436-80-2 Item 74
NC1-436-77-2 Item 124

Disposition Instruction

Cutoff Instruction

Cut off files at the end of the CY.

Retention Period

Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

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Program Reports

Disposition Authority Number

DAA-0564-2013-0003-0008

These files contain recurring reports that document the status of Bureau programs and initiatives. The documents include recurring management reports, informational reports, annual and quarter statistical reports, activity reports,

monthly reports, and progress reports. Also included would be any feeder reports that are used in preparing consolidated reports.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NC1-436-80-2, Item 13
NC1-436-80-2, Item 14
NC1-436-80-2, Item 15
NC1-436-86-2, Item 16
NC1-436-80-2 Item 18

Disposition Instruction

Cutoff Instruction Cut off files at the end of the fiscal year.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Project Files—General Studies

Disposition Authority Number DAA-0564-2013-0003-0009

Initiated within TTB, the projects included in this series are transparent outside of the agency. The files include studies leading to procedural changes such as those in administrative functions and performance improvements. Projects may also include a wider reaching scope such as internal procedures for issuing instructions to industry members, and conferences to promote new regulations or procedures. Case files in this series are considered terminated if disapproved prior to implementation or ended prior to completion.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

10

Cutoff Instruction Cutoff file at the end of the FY in which the project was initiated.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Regulations, Rulings and Decisions—Non-Published

Disposition Authority Number DAA-0564-2013-0003-0010

These are case files containing closed studies, reports and other related data that do not result in the issuance of a regulation, ruling or decision.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off files at the end of the FY in which the case was closed.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Removal of Documentary Materials Forms

Disposition Authority Number DAA-0564-2013-0003-0011

These files consist of Request for Access to and/or Removal of Documentary Materials from the Bureau.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

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	Cutoff Instruction	Cut off at the end of the FY in which the request was closed.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
12	Federal Alcohol Administration Basic Permit Files These files relate to establishments for which permits under the Federal Alcohol Administration Act are required. These files include original application for permit, amendments, powers of attorney for individual proprietorships, corporate documents (or articles of partnership or association) and related correspondence.	
12.1	Files relating to permits issued to distilled spirits plants having production facilities:	
	Disposition Authority Number	DAA-0564-2013-0003-0012
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-436-77-02 Item 111a
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
	Retention Period	Destroy 15 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
12.2	Disapproved applications and permits (other than those covered elsewhere in this schedule) which have been revoked:	
	Disposition Authority Number	DAA-0564-2013-0003-0013
	Final Disposition	Temporary
	Item Status	Active

12.3	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-436-77-02 Item 111b
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of Calendar Year in which application is disapproved or permit is revoked.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Permits Surrendered with prejudice.	
	Disposition Authority Number	DAA-0564-2013-0003-0014
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
12.4	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NC1-436-77-02, Item 111c
	Disposition Instruction	
	Cutoff Instruction	Cut off at end of the Calendar Year in which permit is surrendered.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Permits surrendered without prejudice.	

12.5

Disposition Authority Number DAA-0564-2013-0003-0015

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-436-77-02 Item 111d

Disposition Instruction

Retention Period Destroy immediately after permit is surrendered.

Additional Information

GAO Approval Not Required

Documents contained in the active file which have been superseded.

Disposition Authority Number DAA-0564-2013-0003-0016

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NC1-436-77-02 Item 111e

Disposition Instruction

Cutoff Instruction Cut off at the end of CY in which document is superseded.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

12.6	<div>GAO Approval Not Required</div> <div>Files relating to all other permits except permits covered elsewhere in this schedule.</div> <div>Disposition Authority Number DAA-0564-2013-0003-0017</div> <div>Final Disposition Temporary</div> <div>Item Status Active</div> <div>Is this item media neutral? Yes</div> <div>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</div> <div>Do any of the records covered by this item exist as structured electronic data? Yes</div> <div>GRS or Superseded Authority Citation NC1-436-77-02 Item 111f</div> <div>Disposition Instruction</div> <div>Cutoff Instruction Cut off files at the end of CY in which business is discontinued.</div> <div>Retention Period Destroy 5 year(s) after cutoff.</div>
13	<div>Additional Information</div> <div>GAO Approval Not Required</div> <div>Non-permittee Applications and Authorizations (Liquors).</div> <div>Disposition Authority Number DAA-0564-2013-0003-0018</div> <div>This item relates to persons for whom basic permit files are not maintained. It contains applications and related correspondence and papers.</div> <div>Final Disposition Temporary</div> <div>Item Status Active</div> <div>Is this item media neutral? Yes</div> <div>Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes</div> <div>Do any of the records covered by this item exist as structured electronic data? Yes</div> <div>GRS or Superseded Authority Citation NCI-436-77-2, Item 153</div>

14	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of the CY in which business is discontinued.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Notice and Application Files.	
	These files relate to distilled spirits plants, breweries, bonded wine cellars, tobacco products factories, tobacco export warehouses. These files include, but are not limited to, applications and notices to engage in business, amendments, leases, and reports of original inspection.	
	14.1	
	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities.	
	Disposition Authority Number	DAA-0564-2013-0003-0019
14.2	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 112 a
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of CY in which the business is discontinued.
	Retention Period	Destroy 15 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Files relating to all other premises.	
	Disposition Authority Number	DAA-0564-2013-0003-0020
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes

14.3	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 112 b
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of CY in which the business is discontinued.
	Retention Period	Destroy 4 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Documents contained in the active file which have been superseded.	
	Disposition Authority Number	DAA-0564-2013-0003-0021
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 112 c
15	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which document has been superseded.
	Retention Period	Destroy 1 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Internal Revenue Code Permit Files	
	These files relate to operating, tobacco and industrial use issued under chapters 51 and 52 of title 26 U.S.C. These files include the permits, applications, and related papers including documents and papers where an FAA permit is not required.	
	Files relating to distilled spirits plants having production facilities.	
	Disposition Authority Number	DAA-0564-2013-0003-0022
15.1		

15.2	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 113a
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
	Retention Period	Destroy 15 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Files relating to all disapproved applications and to all permits (other than those covered above) which have been revoked.	
	Disposition Authority Number	DAA-0564-2013-0003-0023
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 113b
	Disposition Instruction	
	Cutoff Instruction	Cut off file at the end of the year in which application is disapproved or permit is revoked.
	Retention Period	Destroy 5 year(s) after cutoff.

15.3	Additional Information	
	GAO Approval	Not Required
	Permits surrendered with prejudice.	
	Disposition Authority Number	DAA-0564-2013-0003-0024
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 113d
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of CY in which permit was surrendered.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
15.4	GAO Approval	Not Required
	Permits surrendered without prejudice.	
	Disposition Authority Number	DAA-0564-2013-0003-0025
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 113e

15.5

Disposition Instruction

Retention Period Destroy immediately after surrendered.

Additional Information

GAO Approval Not Required

Withdrawal application and/or permits, except where permit has been revoked.

Disposition Authority Number DAA-0564-2013-0003-0026

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NCI-436-77-2, Item 113c

Disposition Instruction

Cutoff Instruction Cutoff file at the end of the CY in which the permit expired or when the application was withdrawn., whichever is later.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

15.6

Documents contained in the active file which have been superseded.

Disposition Authority Number DAA-0564-2013-0003-0027

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

15.7	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 113f
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which document has been superseded.
	Retention Period	Destroy 1 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	All other Internal Revenue Code permit files.	
	Disposition Authority Number	DAA-0564-2013-0003-0028
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	Yes
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 113 g
16	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Plats and Plans Files	
	These files relate to distilled spirits plats, breweries, bonded wine cellars, etc. They contain original, additional, and amended plats and plans, including flow sheets, and related documents.	

16.1

Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and has production facilities.

Disposition Authority Number DAA-0564-2013-0003-0029

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

GRS or Superseded Authority Citation NCI-436-77-2, Item 115 a

Disposition Instruction

Cutoff Instruction Cut off files at the end of CY in which business is discontinued.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval Not Required

16.2

All others.

Disposition Authority Number DAA-0564-2013-0003-0030

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

GRS or Superseded Authority Citation NCI-436-77-2, Item 115b

Disposition Instruction

	Cutoff Instruction	Cut off files at the end of CY after receipt of approved superseding plats or plans or when business is discontinued, whichever is later.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
17	Bonds and Consents Files	
	These files relate to liquors and tobacco and contain all bonds (including consents in respect of liens, and consents or extensions in respect of bonds) required to be filed in connection with the particular establishment termination of bonds, and related documents.	
17.1	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and has production facilities.	
	Disposition Authority Number	DAA-0564-2013-0003-0031
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 116a
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which business is discontinued or after all outstanding liabilities have been satisfied, or after elimination of the requirements for the bond, whichever is later.
	Retention Period	Destroy 15 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
17.2	All others.	
	Disposition Authority Number	DAA-0564-2013-0003-0032

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	NCI-436-77-2, Item 116b
Disposition Instruction	
Cutoff Instruction	Cut off files at the end of CY in which business is discontinued or after all outstanding liabilities have been satisfied, or after elimination of the requirements for the bond, whichever is later.
Retention Period	Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval	Not Required
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Prejudice Information Case Files.

Disposition Authority Number	DAA-0564-2013-0003-0033
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These files relate to liquors and tobacco. These files include correspondence relating to final action taken on violations (including cases referred to Law Enforcement for criminal prosecution), copies of citations issued to show cause why a permit should not be suspended or revoked, Administrative Law Judge's decision, orders of revocation, suspension, or annulments, offers in compromise, letters of reprimand, bankruptcy files, and related documents.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	NCI-436-77-2, Item 117a

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	NCI-436-77-2, Item 117b
	Disposition Instruction
	Cutoff Instruction Cut off files at the end of CY in which business is discontinued.
	Retention Period Destroy 5 year(s) after cutoff.
	Additional Information
	GAO Approval Not Required
19	Inspection Report Files.
	Disposition Authority Number DAA-0564-2013-0003-0034
	These files relate to liquor and tobacco businesses. They include all Law Enforcement inspection reports, EXCEPT those relating exclusively to claims, assessments, or original inspections, and inspections of character and fitness of applicants, and personnel of qualified permittees and proprietors, and inspections relating to retail liquor dealers.
	Final Disposition Temporary
	Item Status Active
	Is this item media neutral? Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No
	GRS or Superseded Authority Citation NCI-436-77-2, Item 118
	Disposition Instruction
	Cutoff Instruction Cut off files at the end of CY in which business is discontinued.
	Retention Period Destroy 4 year(s) after cutoff.
	Additional Information
	GAO Approval Not Required
20	Operating Documents Files
	These files contain operating documents, including applications and permissions to conduct certain operations; approved and disapproved applications for sample of distilled spirits, and related documents.
20.1	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and has production facilities.
	Disposition Authority Number DAA-0564-2013-0003-0035

20.2

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	NCI-436-77-2, Item 120a
Disposition Instruction	
Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
Retention Period	Destroy 15 year(s) after cutoff
Additional Information	
GAO Approval	Not Required
Documents contained in the active files which have been superseded.	
Disposition Authority Number	DAA-0564-2013-0003-0036
Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	NCI-436-77-2, Item 120c
Disposition Instruction	
Cutoff Instruction	Cut off file at end of CY in which document was superseded.
Retention Period	Destroy 1 year(s) after cutoff.

20.3	Additional Information	
	GAO Approval	Not Required
	All others.	
	Disposition Authority Number	DAA-0564-2013-0003-0037
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 120d
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
21	GAO Approval	Not Required
	Assessment Files (Liquor and Tobacco).	
	Disposition Authority Number	DAA-0564-2013-0003-0038
	These files include all notices to taxpayers of losses or shortages subject to tax payment and all notices of proposed assessments, affidavits, correspondence, and related documents.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
	Do any of the records covered by this item exist as structured electronic data?	No

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GRS or Superseded Authority Citation NCI-436-77-2, Item 121

Disposition Instruction

Cutoff Instruction Cut off file at end of CY of last assessment.

Retention Period Destroy 6 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Formulas and Processes Files

Disposition Authority Number DAA-0564-2013-0003-0039

These files relate to specially denatured spirits, rectified spirits, and wines. They contain formulas and processes and related correspondence and memorandums. (Note: These files do not include Formulas used for Pre-COLA Product Evaluations).

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

GRS or Superseded Authority Citation NCI-436-77-2, Item 122

Disposition Instruction

Cutoff Instruction Cut off files at the end of CY in which business is discontinued.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

23

Permit Correspondence Files (Liquors and Tobacco).

Disposition Authority Number DAA-0564-2013-0003-0040

These files contain correspondence pertaining to permit matters of liquor and tobacco businesses.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	NCI-436-77-2, Item 123
Disposition Instruction	
Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
Retention Period	Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval	Not Required
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Audit Correspondence Files (Liquors and Tobacco).

Disposition Authority Number	DAA-0564-2013-0003-0041
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These files contain correspondence pertaining to the audit of reports and returns.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	Yes
Do any of the records covered by this item exist as structured electronic data?	No
GRS or Superseded Authority Citation	NCI-436-77-2, Item 124
Disposition Instruction	
Cutoff Instruction	Cut off file at end of CY in which the audit was performed.
Retention Period	Destroy 3 year(s) after cutoff.

24

25	Additional Information	GAO Approval Not Required
	Samples for Testing	
	Disposition Authority Number	DAA-0564-2013-0003-0042
	These files relate to samples taken for testing. They contain chemists' reports and related papers. (NOTE: This material may be filed in other basic files. If so, the retention period will be that of the applicable file).	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	
		Yes
	Do any of the records covered by this item exist as structured electronic data?	
		No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 125
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of CY.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
26	Unsubdivided Basic Files.	
	These files relate to liquors and tobacco and cover premises and other related correspondence (other than distilled spirits plants, breweries, and wineries, for which subdivided files were not warranted).	
26.1	Files relating to applications and notices which have been approved, and for permits which have been issued (other than disapproved applications and notices or to permits which have been revoked).	
	Disposition Authority Number	DAA-0564-2013-0003-0043
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes

26.2	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 126 a
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
	Retention Period	Destroy 4 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Files relating to disapproved applications and notices or to permits which have been revoked.	
	Disposition Authority Number	DAA-0564-2013-0003-0044
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 126b
26.3	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of CY after application is disapproved or permit is revoked, whichever is later.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Permits surrendered with prejudice.	
	Disposition Authority Number	DAA-0564-2013-0003-0045
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes

26.4

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

No

GRS or Superseded Authority Citation

NCI-436-77-2, Item 126c

Disposition Instruction

Cutoff Instruction

Cut off file at end of CY in which permit was surrendered.

Retention Period

Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval

Not Required

Permits surrendered without prejudice.

Disposition Authority Number

DAA-0564-2013-0003-0046

Final Disposition

Temporary

Item Status

Active

Is this item media neutral?

Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?

Yes

Do any of the records covered by this item exist as structured electronic data?

No

GRS or Superseded Authority Citation

NCI-436-77-2, Item 126d

Disposition Instruction

Retention Period

Destroy when no longer needed

Additional Information

GAO Approval

Not Required

27

Operating Reports (Liquors) Other than Wholesalers' and Importers' Reports.

Disposition Authority Number

DAA-0564-2013-0003-0047

These records include monthly, semiannual, and annual reports of operations.

Final Disposition

Temporary

Item Status

Active

28	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 128
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of CY.
	Retention Period	Destroy 5 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Inventories and Reports (Tobacco).	
	Disposition Authority Number	DAA-0564-2013-0003-0048
	These are reports and inventories of manufacturers of tobacco products, tobacco processors, tobacco importers, manufacturers of cigarette papers and tubes, and proprietors of export warehouses, inventories and statements of dealers in tobacco materials, and related reports for tobacco.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
29	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 132
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of CY in which inventories and reports are filed.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Wholesale Liquor Dealer and Importer Reports.	
	Disposition Authority Number	DAA-0564-2013-0003-0049
	These records include reports for wholesale liquor dealers and importers.	

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	NCI-436-77-2, Item 129
Disposition Instruction	
Cutoff Instruction	Cut off file at end of CY in which reports are filed.
Retention Period	Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval	Not Required
Individual Transaction Forms (Tobacco).	
Disposition Authority Number	DAA-0564-2013-0003-0050

These forms relate to individual certifications, authorizations, or similar transactions.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	NCI-436-77-2, Item 133
Disposition Instruction	
Cutoff Instruction	Cut off file at end of CY in which evidence of clearance or delivery was received.
Retention Period	Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval	Not Required
Tax Return Files	
Disposition Authority Number	DAA-0564-2013-0003-0051

These files pertain to liquor and tobacco businesses. They include returns of tax on beer, wine, distilled spirits, and tobacco products (including customs entry or withdrawal forms relating to tax payment of imported tobacco products); related adjustment statements; and other related documents.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? Yes

GRS or Superseded Authority Citation NCI-436-77-2, Item 135b
NCI-436-77-2, Item 135a

Disposition Instruction

Cutoff Instruction Cut off file at end of CY in which return was submitted.

Retention Period Destroy 6 year(s) after cutoff.

Additional Information

GAO Approval Not Required

32

Claims (Liquors, Tobacco, and Firearms and Ammunition Excise Tax).

Disposition Authority Number DAA-0564-2013-0003-0052

These files relate to claims, regardless of form number; and documents filed in support of claims and related inspection or investigation reports, correspondence, notices of adjustment, letters of rejection, and related documents.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NI-436-88-1, Item 83a

Disposition Instruction

33

Cutoff Instruction Cut off file at end of CY in which action on the claim is completed.

Retention Period Destroy 6 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Transaction Forms in Support of Export Claims with Benefit of Drawback (Liquors).

Disposition Authority Number DAA-0564-2013-0003-0053

These files relate to spirits for export with benefit of drawback which have been accounted for by exportation. The files may also include forms covering spirits for export received by proprietors maintaining places of export storage, which have been similarly accounted for, and other related documents.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NCI-436-77-2, Item 137

34

Disposition Instruction

Cutoff Instruction Cut off file at end of CY in which container was removed from export storage.

Retention Period Destroy 6 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Records of Errors or Discrepancies Not Resulting in Tax Adjustment, Claim or Assessment (Liquors and Tobacco).

Disposition Authority Number DAA-0564-2013-0003-0054

These files contain records of error or discrepancies which do not result in tax adjustments on later returns, the filing of claims, or assessment of taxes.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in No

35

electronic format(s) other than e-mail and word processing?

GRS or Superseded Authority Citation NCI-436-77-2, Item 138

Disposition Instruction

Cutoff Instruction Cut off file at end of CY in which form was completed.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Non-beverage Drawback Formulas and Bonds.

Disposition Authority Number DAA-0564-2013-0003-0055

These records include drawbacks on formulas filed by manufacturers of non-beverage products, supplemental statements of process, and related documents. They also include bonds, consents of surety filed in connection with monthly claims, and powers of attorney.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

GRS or Superseded Authority Citation NCI-436-77-2, Item 144

Disposition Instruction

Cutoff Instruction Cut off files at the end of the CY in which allowance of claim was filed or after business is discontinued, whichever is later.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

36

Export Document Records, Transaction Forms (Withdrawals Without Payment of Tax, Liquors and Tobacco).

Disposition Authority Number DAA-0564-2013-0003-0056

These files relate to forms for Withdrawal of Spirits, Specially Denatured Spirits, or Wine for Exportation, Notice of Removal of Cigars, Cigarettes, Cigarette Papers or Cigarette Tubes, or equivalent forms and related documents and correspondence.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NCI-436-77-2, Item 145a
NCI-436-77-2, Item 145b
NCI-436-77-2, Item 134

Disposition Instruction

Cutoff Instruction Cut off files at the end of the CY in which removals are accounted for and when no longer needed for administrative or legal purposes, which ever is later.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Export Bonds and Consents (Withdrawals Without Payment of Tax).

Disposition Authority Number DAA-0564-2013-0003-0057

These records include bonds and consents of surety filed by exporters covering withdrawals, without payment of tax, for export (including use as supplies on vessels and aircraft, transfers to customs manufacturing bonded warehouses, and deposits in foreign trade zones), and related documents, where the exporter of distilled spirits and wines is not the proprietor of the premises from which the withdrawal is made. They also contain forms filed by proprietors of Class 6 warehouses, covering cigars removed from customs bond for export.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

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38	GRS or Superseded Authority Citation	NCI-436-77-2, Item 146
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of the CY in which the bond was terminated or when all outstanding liabilities have been satisfied, whichever is later.
	Retention Period	Destroy 4 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Export Bonds and Consents (Withdrawals with Benefit of Drawback).	
	Disposition Authority Number	DAA-0564-2013-0003-0058
	These files include bonds and consents of surety filed by exporters, bottlers, or packagers to cover the withdrawal of distilled spirits and wines for export subject to drawback.	
	Final Disposition	Temporary
39	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 147
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of the CY in which the bond was terminated or when all outstanding liabilities have been satisfied, whichever is later.
	Retention Period	Destroy 4 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Files of Stills Removed to Non-registrants.	
39	Disposition Authority Number	DAA-0564-2013-0003-0059
	These files include forms issued to cover the removal of stills from a manufacturer to a dealer; or from a manufacturer/dealer to an agency or instrumentality of the United States, and other related documents.	

40	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 148
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of the CY in which the still is removed.
	Retention Period	Destroy 4 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Still Wines Used in Manufacture of Vinegar	
	Disposition Authority Number	DAA-0564-2013-0003-0060
	These records include forms and related correspondence relating to wine received by vinegar plant proprietors from bonded wine cellars.	
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NCI-436-77-2, Item 154a NCI-436-77-2, Item 154b
	Disposition Instruction	
	Cutoff Instruction	Cut off file at the end of the CY in which transaction was completed or after termination of bond, or when all outstanding liabilities under the bond have been satisfied, whichever is later.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required

41

Retail Liquor Dealer Records Files.

Disposition Authority Number DAA-0564-2013-0003-0061

These files consist of retail liquor dealer offers in compromise and recommendation for assessment of special tax, and related inspection reports and correspondence.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? No

GRS or Superseded Authority NCI-436-77-2, Item 176a
Citation NCI-436-77-2, Item 176b

Disposition Instruction

Cutoff Instruction Cut off file at the end of the CY.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

42

Disapproved Change Applications

Disposition Authority Number DAA-0564-2013-0003-0062

These files consist of disapproved applications submitted by proprietors or permittees for changes in construction, use, or equipment.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered
by this item currently exist in
electronic format(s) other than e-
mail and word processing? Yes

Do any of the records covered
by this item exist as structured
electronic data? No

GRS or Superseded Authority NCI-436-77-2, Item 178
Citation

Disposition Instruction

Cutoff Instruction Cut off file at the end of the CY after disapproval.

43

Retention Period Destroy 1 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Auditors' Activity Reports

Disposition Authority Number DAA-0564-2013-0003-0063

These files consist of reports submitted monthly or at other intervals which provide details of accomplishments and other related items.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NC1-436-81-1, Item 209

Disposition Instruction

Cutoff Instruction Cut off file at the end of the CY.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

44

Taxpayer Record Files.

Disposition Authority Number DAA-0564-2013-0003-0064

These files contain records pertaining to payment of alcohol, tobacco, firearms and ammunition excise taxes, and special occupational taxes.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-436-94-2, Item 1

Disposition Instruction

45

Cutoff Instruction Cut off file at the end of the CY in which transaction was completed.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Collection Forms.

Disposition Authority Number DAA-0564-2013-0003-0065

These forms contain information pertaining to collection activities regarding taxpayers. These files include Notice and Demand, Filing and releasing of liens, filing and releasing of third party levies (i.e., bank accounts, wages), Excise Tax Return, and Seizure and sale of taxpayer property.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation N1-436-94-2, Item 2

Disposition Instruction

Cutoff Instruction Cut off file at the end of the CY in which transaction was completed.

Retention Period Destroy 15 year(s) after cutoff.

Additional Information

GAO Approval Not Required

46

Periodic Recurring Reports

Disposition Authority Number DAA-0564-2013-0003-0066

These report files relate to data on winery materials, claims, and other narrative reports not listed elsewhere in this schedule. They include reports of transactions at premises of permittees; statistical information, reports of seizures, investigations, major violations, and other background material.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

47	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NC1-436-80-3 Item 2a NC1-436-80-3 Item 2b
	Disposition Instruction	
	Cutoff Instruction	Cut off file at the end of the CY in which reports are filed.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Floor Stocks	
	These files consist of a one-time excise tax placed on a commodity undergoing a tax increase. The amount of the floor stocks tax is equal to the difference between the new tax rate and the one just previous to it. The file includes to tax return, product inventory and other related documents.	
	Non-filers	
47.1	Disposition Authority Number	DAA-0564-2013-0003-0067
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off file at the end of FY 2009.
	Retention Period	Destroy 10 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
47.2	Filers	
	Disposition Authority Number	DAA-0564-2013-0003-0068
	Final Disposition	Temporary

48

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off file at the end of FY 2009.

Retention Period Destroy 3 year(s) after cutoff.

Additional Information

GAO Approval Not Required

General Subject Files:

Disposition Authority Number DAA-0564-2013-0003-0069

These files include correspondence, reports, memorandums, and related papers, not covered elsewhere in this schedule, pertaining to the internal administration and management of the Office of Inspection.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

GRS or Superseded Authority Citation NC1-436-80-2, Item 211

Disposition Instruction

Cutoff Instruction Cut off files at the end of the CY or when no longer needed for administrative, financial or legal purposes, whichever is later.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

49

Reports of Program and Office Reviews

Disposition Authority Number DAA-0564-2013-0003-0070

These files are relative to operations review or security matters, such as letters of transmittal and requests for information, which are not appropriate for inclusion in the files listed elsewhere in this schedule.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
GRS or Superseded Authority Citation	NC1-436-80-2, Item 212 NC1-436-80-2, Item 213 NC1-436-80-2, Item 214

Disposition Instruction

Cutoff Instruction	Cutoff files at the end of the CY in which the report was issued.
Retention Period	Destroy 10 year(s) after cutoff.

Additional Information

GAO Approval	Not Required
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Assistance Requests and Assignments Files

Disposition Authority Number	DAA-0564-2013-0003-0071
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These files consist of requests within TTB for assistance from the Intelligence Division and other Program Offices. These files include applicant verifications, Trade Investigation case support, Tax Audit case support, work coordinated with other agencies, 3rd party referrals (public, industry, consumers, etc.) and internal TTB referrals.

Final Disposition	Temporary
Item Status	Active
Is this item media neutral?	Yes
Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No

Disposition Instruction

Cutoff Instruction	Cut off file at the end of the FY.
Retention Period	Destroy 20 year(s) after cutoff.

50

51

Additional Information

GAO Approval Not Required

Case Files

Disposition Authority Number DAA-0564-2013-0003-0072

These files consist of Assignment files, Adverse Actions, Intra-Agency Coordination, Criminal Referrals and Investigation support files. These files include assistance request or referral, checklist for case type, results of research, correspondence including warning letters, counsel opinions, case outcomes, Recommendations, information from state contacts, federal agencies, industry members, former industry members, international agencies, travel, logistics, after action reports and other documentation.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off file at the end of the FY when case is closed or when appeals are exhausted, whichever is later.

Retention Period Destroy 20 year(s) after cutoff.

Additional Information

GAO Approval Not Required

52

Asset Forfeiture Claims

Disposition Authority Number DAA-0564-2013-0003-0073

These files include requests for funds, bills for reimbursement, and tracking of cases TTB worked on that involve seizures.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

53

Cutoff Instruction Cut off file at the end of the FY when closed, settled, final payment is made, expired, or final action is completed.

Retention Period Destroy 6 years and 3 months after cutoff.

Additional Information

GAO Approval Not Required

Data Analytics-Risk Management Project Management and Strategic Documents

Disposition Authority Number DAA-0564-2013-0003-0074

These files consist of project management and strategic documentation for TTB's Data Analytics Project.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off file at the end of the FY.

Retention Period Destroy 5 year(s) after cutoff.

Additional Information

GAO Approval Not Required

54

White Papers

Disposition Authority Number DAA-0564-2013-0003-0075

These files consist of studies and reports developed for Treasury or Congress. These files include Gap Analysis Reports, Tobacco Diversion Reports, and background and research files.

Final Disposition Permanent

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

55

Cutoff Instruction

Cut off file at the end of the CY in which it becomes final.

Transfer to the National Archives for Accessioning

Transfer to the National Archives in 5 year blocks 15 year(s) after cutoff.

Additional Information

First year of records accumulation 2003

What will be the date span of the initial transfer of records to the National Archives? From 2003 To 2007

How frequently will your agency transfer these records to the National Archives? Every 5 Years

Intel Correspondence

Disposition Authority Number DAA-0564-2013-0003-0076

These files consist of correspondence from the Intelligence Division to other Government and Intelligence Agencies.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? No

Disposition Instruction

Cutoff Instruction Cut off files at the end of the FY.

Retention Period Destroy 20 year(s) after cutoff.

Additional Information

GAO Approval Not Required

56

Contact Files

Disposition Authority Number DAA-0564-2013-0003-0077

These files consist of notes and information regarding visits to industry members that are not being audited.

Final Disposition Temporary

Item Status Active

57	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	Disposition Instruction	
	Cutoff Instruction	Cut off file at end of calendar year in which contact was made with industry member.
	Retention Period	Destroy 3 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required.
	Corporate Document Files	
	These files relate to liquors and tobacco. They contain corporate documents (or articles of partnership or association) and related documents, includes, but is not limited to, Power of Attorney (for other than individual proprietorships), Statement of Ownership, Certificate of Incorporation, and related papers.	
	57.1	Files relating to distilled spirits plants which are required to hold Federal Alcohol Administration Act permits and have production facilities.
57.2	Disposition Authority Number	DAA-0564-2013-0003-0078
	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NC1-436-77-2, item 114a
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
	Retention Period	Destroy 15 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Those documents contained in the active files which have been superseded.	
	Disposition Authority Number	DAA-0564-2013-0003-0079

57.3	Final Disposition	Temporary
	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NC1-436-77-2, Item 114b
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which document has been superseded.
	Retention Period	Destroy 15 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	All other Corporate Document Files, except those relating specifically to distilleries and warehouses.	
	Disposition Authority Number	DAA-0564-2013-0003-0080
	Final Disposition	Temporary
58	Item Status	Active
	Is this item media neutral?	Yes
	Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing?	No
	GRS or Superseded Authority Citation	NC1-436-77-2, Item 114c
	Disposition Instruction	
	Cutoff Instruction	Cut off files at the end of CY in which business is discontinued.
	Retention Period	Destroy 4 year(s) after cutoff.
	Additional Information	
	GAO Approval	Not Required
	Non-Selected Applicant Records	
	Disposition Authority Number	DAA-0564-2013-0003-0081

Records of non-selected employment applicants are records that are created and received in the course of TTB employment announcements. Records include but is not limited to resumes, interview questions, Interview notes (written on copies of resumes, on note paper, on questionnaires, or on or by any means during an interview), copy of Job announcement, and qualification related materials submitted by the applicant during the interview.

Final Disposition Temporary

Item Status Active

Is this item media neutral? Yes

Do any of the records covered by this item currently exist in electronic format(s) other than e-mail and word processing? Yes

Do any of the records covered by this item exist as structured electronic data? No

Disposition Instruction

Cutoff Instruction Cut off files at the end of the fiscal year in which position has been filled or cancelled.

Retention Period Destroy 1 year(s) after cutoff.

Additional Information

GAO Approval Not Required

Agency Certification

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal in this schedule are not now needed for the business of the agency or will not be needed after the retention periods specified.

Signatory Information

Date	Action	By	Title	Organization
05/24/2013	Certify	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
08/27/2013	Return for Revision	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
09/13/2013	Submit For Certification	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
09/13/2013	Certify	Quinton Mason	Records Officer	HQ Operations - Rulings and Regulations Division
09/23/2014	Submit for Concurrence	Jametta Davis	Appraiser	National Archives and Records Administration - Records Management Services
09/29/2014	Concur	Margaret Hawkins	Director of Records Management Services	National Records Management Program - Records Management Services
09/29/2014	Concur	Laurence Brewer	Director, National Records Management Program	National Archives and Records Administration - National Records Management Program
09/29/2014	Approve	David Ferriero	Archivist of the United States	Office of the Archivist - Office of the Archivist